

ENGINEERING DIRECTIVES AND STANDARDS

Volume : III
Chapter : 3
Section : 1
Directive : 2

Revision Date : 06/26/1985

Subject : **FIELD RECORDS FOR UTILITY ADJUSTMENT AND RELOCATIONS**

1. **PURPOSE.** To establish a uniform and simplified method of record keeping for utility relocations and adjustments.
2. **SCOPE.** This directive establishes procedures for the preparation of Form 03-40-4114, Utility Diary, used to record utility relocations and/or adjustments.
3. **PROCEDURE.**
 - A. General Requirements for Form 03-40-4114, Utility Diary.
 - (1) Field inspectors in each project area will be responsible for completing the form legibly in pen and in duplicate. (The carbon copies shall be transmitted weekly to the District Utility Representative.) A separate Form 03-40-4.114 is required for each Utility Agreement.
 - (2) Form 03-40-4114 will be kept in a separate 1-inch acco-type binder for each agreement. On the tab of the file folder list "Utility Diary, Folder Number One, Two, etc.," the utility name and agreement number and give the inclusive dates of the forms in that particular file folder.

When the binder is full a new binder will be used. Care shall be taken not to overfill. Each page of the reports shall be securely bound daily so as to avoid the possibility of loss of sheets.
 - (3) Form 03-40-4114 shall be filed chronologically with the latest date on top.
 - (4) The project engineer is to retain his utility agreement project files, on each utility, until final utility invoice for the agreement has been paid. Files on utilities whose final invoice has been paid and on utilities involving no reimbursement by the Department should be turned in with the final estimate for the highway construction project.

Files on utilities whose work has not been completed should be retained until the utility work is completed and the final invoice paid. The project engineer should then transmit the file directly to General Files.

B. Instructions for Completing Form 03-4.0-4114, Utility Diary. The form (copy attached) is to be completed in its entirety and is self-explanatory except as follows.

- (1) Report Number - Pages shall be numbered beginning on the first day the utility performs work on the project with the Number "1".

Additional pages needed for the same day will be designated by a letter suffix following the number. (The second page of the first day would be "1A", the third page "1b", etc.) Indicate the total number of sheets for the day below the report number line on Sheet Number "1" as follows:

For a day with 3 sheets, "1/3" would be added immediately below the report number. On the final report for each utility, also add "FINAL" below the report number.

Daily reports are not required during periods when the utility or utility contractor is not working on the project.

(2) Contractor's/Utility's Force and Equipment - Enter contractor's/utility's work force being used on the job by payroll classification. If possible, skip a line between labor force and equipment listings.

(3) Location of Work, Station to Station - Separate work into phases and enter station number limits within which each phase of work is performed that day.

Use a different column for each phase of work or for location changes involving the same work phase.

Under "Station to Station" columns are squares to be filled in with the actual number of personnel or pieces of equipment used that day on that work phase and at that location.

If the same number of personnel and equipment are used at the next location (new station numbers) do not repeat original information entered, but draw a horizontal line across the next square to indicate the same number of personnel and pieces of equipment were used.

(4) Utility - Enter the name of the owner of the utility being relocated or adjusted.

(5) Utility Contractor - Enter the name of the utility contractor performing the work, if applicable. If no contractor involved, enter "N/A".

(6) Department Personnel and Activity - Enter the last name of Department personnel used that day and a brief description of work accomplished by them, including hours worked. Also enter Department equipment used and miles driven.

(7) Approximate Work Accomplished - Report location (station to station) and description of work being performed and record major items of material installed or removed. Some examples of major items follow.

(a) Electrical - Poles, pole top units, anchors, guys, wire size and length.

(b) Telephone - Cable size and length, conduit size and length, pedestals, manholes.

(c) Cable TV - Attachments on poles.

(d) Gas and Water Lines - Pipe size and length, casing size and length, valves, meters.

(8) Materials salvaged. any other Salvaged - Enter quantities of major For example: "10 power poles." Do not list wire and any other small items.

(9) Comments on Progress - Enter progress either "Satisfactory" or "Unsatisfactory." Enter additional comments progress on the back of Form 03-40-4114 or on a separate sheet, giving complete details.

(10) Work Started - Date utility began work, leave blank.

(11) Work Completed - Date utility completed work, leave blank.

(12) Signature Project Engineer - In addition to verifying and signing each Form 03-40-4114 the project engineer must also initial any changes he makes or additional information he adds to the information originally entered by the field inspectors.

(13) The inspector and/or Project Engineer will add any supplemental information on the back side of the form under the "Approximate Work Accomplished (Continued) and/or Project Engineer's Comments" section. (This information may also be listed on a separate attached sheet).

This additional information should cover any extraordinary events that occurred on that date. This includes but is not necessarily limited to:

- (a) instructions given the Project Engineer by the District.
- (b) instructions given the Project Engineer by Headquarters.
- (c) instructions given the utility by the Project Engineer. This includes names of witnesses and utilities representatives involved, especially those dealing with phases of work where some controversy has developed or is expected to develop.
- (d) discussions held with the utility, other utility owners, contractors, local public officials, etc.
- (e) discussions held with inspectors.
- (f) documentation of delays caused by utility conflicts (See EDSM 111.3.1.1).
- (g) recording of accidents, giving the time of day, weather conditions, road conditions, warning signs, visibility, names of witnesses, etc.
- (h) recording of any information which may be useful in settling or verifying claims for additional compensation, such as utility's or contractor's force on the job or equipment on or near the job during periods of shutdowns, where such shutdowns are due to circumstances beyond the control of the utility or its contractor.

4. **OTHER ISSUANCES AFFECTED.** This directive supersedes EDSM No. 111.3.1.2, dated March 21, 1978. All other directives, memoranda or instructions issued heretofore which conflict with this directive are hereby rescinded.

5. **EFFECTIVE DATE.** This directive will be effective immediately upon receipt.

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